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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/871,427	05/31/2001	Andrew J.R. Smith	3499-76	8901
56678	7590	11/27/2006	EXAMINER	
LEE & HAYES, PLLC 421 W. RIVERSIDE AVE. SUITE 500 SPOKANE, WA 99201				HAMILTON, LALITA M
		ART UNIT		PAPER NUMBER
		3691		

DATE MAILED: 11/27/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	Application No.	Applicant(s)
	09/871,427	SMITH ET AL.
	Examiner Lalita M. Hamilton	Art Unit 3691

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

1) Responsive to communication(s) filed on 29 August 2006.

2a) This action is FINAL.                            2b) This action is non-final.

3) Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

4) Claim(s) 1-34 is/are pending in the application.

4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.

5) Claim(s) \_\_\_\_\_ is/are allowed.

6) Claim(s) 1-34 is/are rejected.

7) Claim(s) \_\_\_\_\_ is/are objected to.

8) Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

9) The specification is objected to by the Examiner.

10) The drawing(s) filed on \_\_\_\_\_ is/are: a) accepted or b) objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11) The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

12) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a) All    b) Some \* c) None of:  
 1. Certified copies of the priority documents have been received.  
 2. Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
 3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

1) Notice of References Cited (PTO-892)  
 2) Notice of Draftsperson's Patent Drawing Review (PTO-948)  
 3) Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date 01022002.

4) Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.  
 5) Notice of Informal Patent Application  
 6) Other: \_\_\_\_\_

## DETAILED ACTION

### Summary

On July 17, 2006, a restriction requirement was sent to the Applicant. On August 29, 2006, the Applicant responded by electing group II with traverse.

### *Election/Restrictions*

The restriction requirement has been withdrawn. The Examiner will examine all claims, 1-34.

### *Claim Rejections - 35 USC § 102*

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

Claims 1-34 are rejected under 35 U.S.C. 102(e) as being anticipated by Lewis (6,513,019).

Lewis discloses a method and corresponding system for managing financial information comprising receiving a raw data object carried on a raw data stream input, determining an object type of the raw data object, generating a formatted data object based on the contents of the raw data object by applying a set of formatting rules, determining if a prior version of the formatted data object is present in an object storage pool, if a prior version is present in the object storage pool, determining a data

differential between the formatted data object and the prior version, updating the prior version of the formatted data object to correspond with the generated formatted data object, and broadcasting the data differential on an output broadcast data channel, otherwise, if no prior version is present in the object storage pool, providing the formatted data object to subscriber processes and storing the formatted data object in the object storage pool (col.5, line 60 to col.6, line 28; col.8, line 48 to col.9, line 15; col.10, line 34 to col.22, line 41; col.12, lines 45-65; and col.20, lines 40-45); formatted data object stored in the object storage pool has an associated sequence number, the step of updating comprising the step of incrementing the sequence number of the formatted data object, the step of broadcasting the data differential including broadcasting the sequence number associated with the formatted data object (col.5, line 60 to col.6, line 28; col.8, line 48 to col.9, line 15; col.10, line 34 to col.22, line 41; col.12, lines 45-65; and col.20, lines 40-45); providing the formatted data object comprises broadcasting the formatted data object on the output broadcast channel (col.5, line 60 to col.6, line 28; col.8, line 48 to col.9, line 15; col.10, line 34 to col.22, line 41; col.12, lines 45-65; and col.20, lines 40-45); the broadcast channel is selected from a plurality of broadcast channels according to the object type (col.5, line 60 to col.6, line 28; col.8, line 48 to col.9, line 15; col.10, line 34 to col.22, line 41; col.12, lines 45-65; and col.20, lines 40-45); applied formatting rules are selected in accordance with the determined object type (col.5, line 60 to col.6, line 28; col.8, line 48 to col.9, line 15; col.10, line 34 to col.22, line 41; col.12, lines 45-65; and col.20, lines 40-45); translating the raw data object into a raw event comprising at least one name-value pair prior to

performing the steps of determining an object type of the raw data object and generating a formatted data object (col.5, line 60 to col.6, line 28; col.8, line 48 to col.9, line 15; col.10, line 34 to col.22, line 41; col.12, lines 45-65; and col.20, lines 40-45); validating the contents of the raw data object and upon a failed validation, preventing subsequent broadcast of the data differential or formatted data object derived from the respective raw data object (col.5, line 60 to col.6, line 28; col.8, line 48 to col.9, line 15; col.10, line 34 to col.22, line 41; col.12, lines 45-65; and col.20, lines 40-45); receiving a particular formatted data object at a subscriber process, storing the received formatted data object in a database associated with the subscriber process, receiving at the subscriber process a data differential for the particular formatted object via the broadcast data channel, and updating the stored formatted data object in accordance with the received data differential (col.5, line 60 to col.6, line 28; col.8, line 48 to col.9, line 15; col.10, line 34 to col.22, line 41; col.12, lines 45-65; and col.20, lines 40-45); the broadcast data channel is received by a plurality of subscriber processes (col.5, line 60 to col.6, line 28; col.8, line 48 to col.9, line 15; col.10, line 34 to col.22, line 41; col.12, lines 45-65; and col.20, lines 40-45); the subscriber processes receives a plurality of broadcast channels; communicating information about the formatted data object stored in the subscriber database to a remote location (col.5, line 60 to col.6, line 28; col.8, line 48 to col.9, line 15; col.10, line 34 to col.22, line 41; col.12, lines 45-65; and col.20, lines 40-45); the raw data object comprises information related to a financial product offering (col.5, line 60 to col.6, line 28; col.8, line 48 to col.9, line 15; col.10, line 34 to col.22, line 41; col.12, lines 45-65; and col.20, lines 40-45); the object typing and formatting

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rules are stored in a tree format, the tree having a root node and at least one descendant stream nodes, each stream node being associated with a specific raw data stream, each stream node further having at least one type leaf node descending therefrom, each type leaf node being associated with a specific object type carried by the raw data stream associated with the respective stream node, each type leaf node having at least one associated object typing rule for identifying objects of the type associated with the respective type leaf node (col.5, line 60 to col.6, line 28; col.8, line 48 to col.9, line 15; col.10, line 34 to col.22, line 41; col.12, lines 45-65; and col.20, lines 40-45); and each type leaf node further has at least one associated formatting rule (col.5, line 60 to col.6, line 28; col.8, line 48 to col.9, line 15; col.10, line 34 to col.22, line 41; col.12, lines 45-65; and col.20, lines 40-45).

### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Lalita M. Hamilton whose telephone number is (571) 272-6743. The examiner can normally be reached on Tuesday-Thursday (6:30-2:30).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kalinowski Alexander can be reached on (571) 272-6771. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.



Lalita M. Hamilton  
Primary Examiner, 3691